



Compliance Investigation Report – Instructions

Print Compliance Buy warrants using warrant types that contain the types of foods you will be buying. To print Compliance Buy warrants in AKWIC go to “Administration” then “Compliance Buy.” A Compliance Food Instrument window will be displayed. In this window, you can select the warrant type you want to print. Each FI type has to be printed separately. Then you enter the client and guardian names that will appear on the check, and an alternate if desired. Since the cashier will presumably check the buyer’s ID, it is important that the name(s) on the checks match your ID. Next you can designate the number of each FI type that you want to print. Make copies of the Compliance Buy warrants before you go to the store so they can be turned in with the report.

At the store you want to look and behave as much as possible like an “ordinary” WIC shopper. It might be helpful to carry a “shopping list” inside the WIC Food List so you can take notes such as shelf prices or comments on stock availability, without appearing suspicious. Pay attention to the general appearance, cleanliness, and organization of the store. Note if the WIC signs and shelf tags are being used, similar to what you would do during a monitoring visit. **Do not disclose that you are a WIC representative.**

If you are using a warrant type such as 0141, you do not have to buy everything that is listed on the warrant. For instance, you may choose less than the full quantity of milk. Make a note if the cashier makes a comment, such as asking you if you want to purchase the additional amount that is allowed.

Pay attention to how the transaction is handled. You could act as if you are making notes on your shopping list.

- Did the cashier check your ID?
- Did the cashier ask you to sign the warrants(s) before or after the items were rung up?
- Did the cashier compare the signature on the warrants(s) to that on your ID?

Try to remember as many details as possible, including the cashier’s name or physical description. Include information on any other staff that may have been called to offer your cashier assistance. Write down as much detail as possible in your report while it is fresh in your mind. This gets especially difficult if you do several buys in one day and try to complete all the paperwork later as they all start to blur together. When you complete the list of purchases made during the buy, note the shelf prices, and indicate if you were allowed to use a store discount card, such as Safeway Club or Fred Meyer Rewards card.

It is desirable to attach a picture of the items purchased for documentation purposes, especially if violations are detected. For pictures, you can arrange the items in separate boxes in the trunk of your car. This will ensure that you do not accidentally mix items from multiple investigations. In the interest of keeping compliance buys covert, please take pictures somewhere away from the store. If you do not have access to a camera, pictures are not mandatory. In that case, if any unauthorized foods were allowed that are non-perishable it would be good to retain them as evidence in case of an administrative hearing.

All items purchased, except those that are retained as evidence, must be donated to a charitable organization, such as the Food Bank. Complete the Item Disposition Record and ask for the signature of the receiver. You can provide them a copy or offer to fax them a copy later. You must turn the original in with your report.

This form along with copies of your warrants, store receipt(s), and the original Item Disposition Record are required to be submitted to the State WIC Office as soon as possible, but **no later than 30 days after the compliance investigation is concluded.**

If you need clarification on how to properly complete a Compliance Investigation Report please call the WIC Vendor Management Unit at (907) 465-3100.